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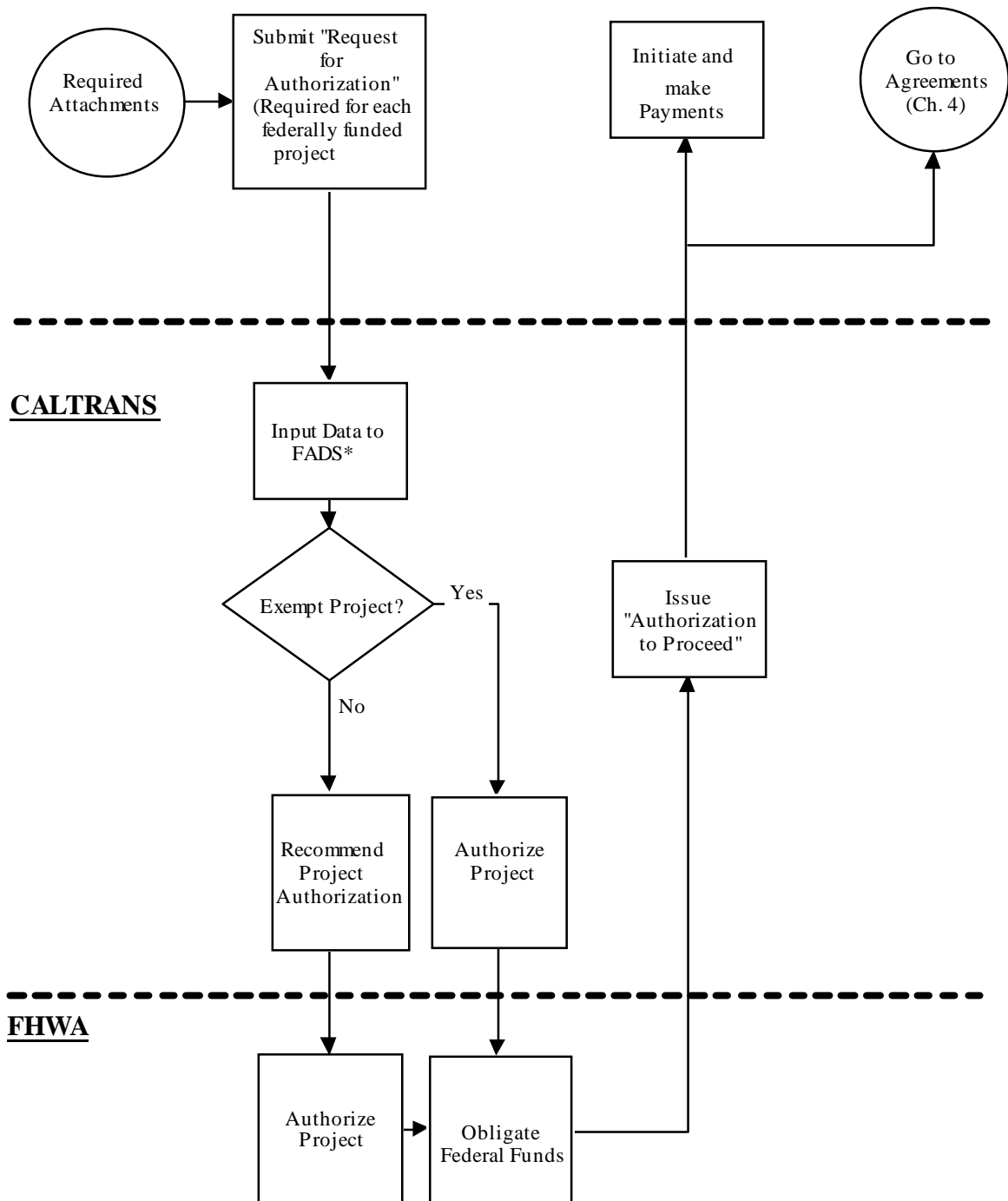
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**FINANCIAL MANAGEMENT PROCEDURES
PROJECT AUTHORIZATION/OBLIGATION**

For Developing All Local Federal-Aid Projects

**LOCAL
AGENCY**

Authorization must precede any project phase for which Federal -aid
funds will be requested



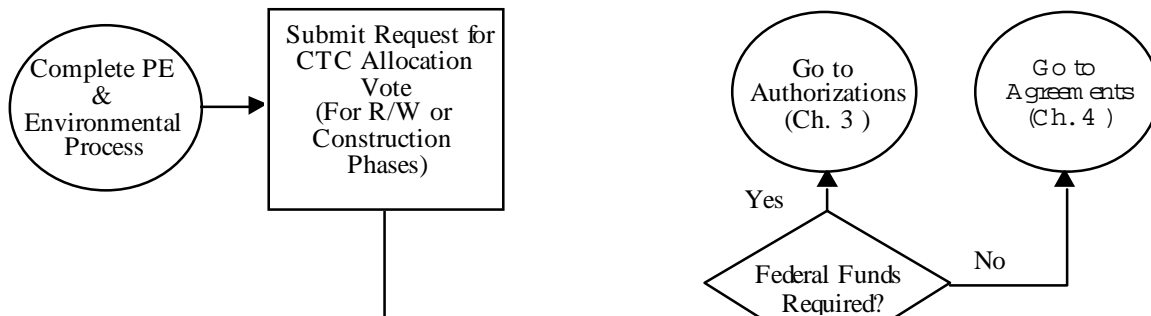
*FADS: Federal Aid Data System

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CTC ALLOCATION VOTE

For Developing State Funded Projects*

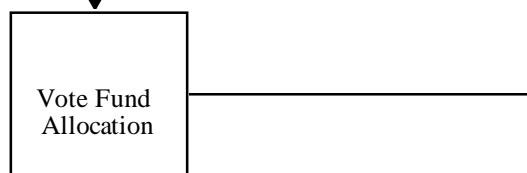
LOCAL
AGENCY



CALTRANS



California Transportation Commission



*Allocation Vote required for:
 Transportation Enhancement Activities
 Environmental Enhancement and Mitigation Program
 Proposition 116 - Bicycle
 Flexible Congestion Relief
 Transportation System Management Program

OLP 2/96

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CHAPTER 3 PROJECT AUTHORIZATION

3.1 PROJECT AUTHORIZATION

Prior to beginning reimbursable work, the project (or project phase) eligible for reimbursement from Federal funds must be formally authorized (approved) by the Federal Highway Administration (FHWA). For projects exempt from FHWA oversight and review (per the stewardship agreements), the FHWA has delegated this authority to Caltrans. However, the FHWA still obligates the Federal funds and signs the Authorization document for all Federal-aid projects.

The stewardship agreements provide delegations to Caltrans (and those to the local agencies) based on the categorizations of projects on Figure 2-1. Projects will be exempt (E), certification acceptance (Y), or nonexempt (N), from FHWA oversight. These codes (E, Y, or N) will be carried to the particular Federal-aid project number (see Exhibit 3-H, number 6).

After a project is selected and programmed in a Federal Highway Administration/ Federal Transit Administration (FHWA/FTA) approved Federal Statewide Transportation Improvement Program (FSTIP) for Federal funds, the local agency should contact the District Local Assistance Engineer (DLAE) to discuss when and how they wish to proceed with project implementation. The discussion should cover the timing and process for authorization and obligation of funds for each federally funded phase and allocation of funds by the California Transportation Commission, if required. If the project is on the NHS, the DLAE will also determine if a Field Review will be required (see Chapter 7).

The State's "Federal-Aid Data System" (FADS) database and the "Federal Management Information System" (FMIS) are integral systems used in the authorization process. The State must provide certain detailed information to the FMIS database in order to successfully obligate the Federal funds. The obligation of funds is automatic upon authorization if the data is correct and if the State has remaining fund apportionment appropriate for the project and obligation authority in the Federal fiscal year (likewise, local agencies may be competing with other local agencies for Federal funds). See "Advance Construction Authorization" topic below for procedures when no obligation authority remains. The "Authorization to Proceed," a report printed from the FADS system, shows the dates of authorization and obligation along with summary data about the project.

For declared emergencies approved by the FHWA for Emergency Relief (ER) funding, emergency repair work and preliminary engineering work may be initiated without prior authorization (see Chapter 11, "Disaster Assistance," of the *Local Assistance Program Guidelines*).

RESPONSIBILITIES

The local agency is responsible for initiating the request for authorization and CTC vote, if necessary, in a timely manner. If all the prerequisite requirements are satisfied, two weeks processing time should be allowed for Federal authorization for exempt projects. Another week or more may be required for nonexempt projects that require the FHWA to review and sign the "Request for Approval/Authorization to Proceed" (hardcopy form FNM-76). Additional time may also be required near the beginning or end of the Federal fiscal year.

Before any authorization can be initiated, all projects (except ER) must be in a federally approved FTIP/FSTIP. ER projects must be included in the FTIP/FSTIP only if they involve substantial functional, location or capacity changes.

The following projects must also be included on the eligibility lists noted:

- Grade Crossing Improvement funds - California Public Utilities Commission (CPUC) approved list
- Transportation Enhancement Activity (TEA) funds - California Transportation Commission (CTC) approved list
- Flexible Congestion Relief funds - CTC approved STIP (if over \$300,000)
- Highway Bridge Replacement & Rehabilitation (HBRR) funds - Caltrans' approved list for funding eligibility
- Hazard Elimination Safety (HES) funds - Caltrans' approved list
- Transportation System Management (TSM) - Caltrans' approved list
- Environmental Enhancement and Mitigation (EEM) - CTC approval list

REQUEST FOR AUTHORIZATION

Separate work authorizations and fund obligations are normally made for the preliminary engineering (PE), right of way, utility relocation, and construction phases if Federal funds are to be used in that phase of work. Authorization to proceed and obligation of funds within the phases is sometimes subdivided as well. The authorization and transfer of funds to the Federal Transit Administration (FTA) is also made with a Request for Authorization.

To initiate a Federal project authorization/obligation and add authorization/obligation for additional phases, each local agency must prepare the "Request for Authorization" package that provides the information needed by Caltrans and FHWA to process the request. The package includes the appropriate "Request for Authorization," Exhibits 3-A, B, C or D; the "Request for Authorization - Project Prefix Checklist," Exhibit 3-E; the "Finance Letter," Exhibit F; and the "Request for Authorization - Data Sheets," Exhibit 3-G. Information in this format can be input directly into the FADS computer files by Caltrans. The request package should be submitted directly to the appropriate Caltrans District Local Assistance Engineer (DLAE). If the package is complete, Caltrans will initiate the authorization process. The form will be returned to the local agency if there is missing data that cannot be quickly obtained by FAX, telephone, or other source.

"Authorization to Proceed" must be obtained prior to starting an item of work for which an agency wishes to be federally reimbursed. Emergency Relief work is the exception (for restoration, as part of the emergency relief work, Authorization is required before advertising). In other words, work prior to Authorization is ineligible for reimbursement.

PRELIMINARY ENGINEERING (PE) PHASE

Eligible preliminary engineering (PE) includes all location, design, and related work preparatory to the advancement of a project to physical construction. Preliminary right of way studies related to the environmental process, as described in Chapter 13, are considered part of the eligible preliminary studies and authorized as part of the PE Authorization to Proceed (E-76).

Only eligible work performed after the authorization date for PE may be reimbursed. The preliminary studies portion of PE may be authorized prior to an optional or mandatory field review (see Chapter 7). This will allow reimbursement for consultants or other specialists who may be needed to obtain information required to complete the field review.

The project must have a completed field review form (see Chapter 7) and a federally approved environmental document prior to requesting authorization for the final design and right of way phases of work.

Preliminary engineering must lead to a construction project in a timely manner. If construction is not started in ten years, any funds expended must be returned to the Federal government.

RIGHT OF WAY

Eligible right of way work includes the preparation of right of way plans, making economic studies and other related preliminary work, appraisal for parcel acquisition; review of appraisals; payments for real property acquired; preparation for and trial of condemnation cases; management of properties acquired; furnishing of relocation assistance; and other related labor expenses (see 23 CFR 710.303 for details).

As noted above, some preliminary right of way activities may be performed in advance of approval of the environmental document and are authorized as part of PE. This is not true for the majority of right of way activities, e.g., negotiating with property owners, acquisition and relocation assistance (see Chapter 13, "Right of Way" of this manual). This work is included in the local agency's "Request of Authorization to Proceed with Right of Way."

Only eligible work performed after the authorization date for right of way may be reimbursed. A request for right of way must include the field review form and the FHWA-approved environmental document. If reimbursement for utility relocation will be requested, a separate "Request for Authorization to Proceed with Utility Relocation" for utility relocation under the Alternate Procedure must also be included (see Chapter 14, "Utility Facilities" of this manual).

If Federal-aid reimbursement is sought for any phase of the project, all right of way activities must conform to Federal requirements. Failure to conform will jeopardize the Federal funding.

CONSTRUCTION

Eligible construction costs include construction engineering; the actual cost to construct the highway itself including its appurtenant facilities and any removal, adjustment or demolition of buildings or major obstruction, and utility or railroad work that is a part of the physical construction of the project; and administrative settlement cost-contract claims. Construction engineering includes the supervision and inspection of construction activities; additional staking functions considered necessary for effective control of the construction operations; testing materials incorporated into construction; checking shop drawings; and measurements needed for the preparation of pay estimates. Construction engineering costs shall be itemized on the finance letter to be eligible for reimbursement.

ISTEA changed the limitation on Federal reimbursement for construction engineering as a percentage of total project construction costs. Under ISTEA, Federal reimbursement for construction engineering is limited to 15 percent of the total estimated construction costs of all projects financed with Federal-aid highway funds that fiscal year. This percentage applies to the total of all projects involving Federal funds and eliminates the project-by-project limitation of 15 percent. The estimated construction cost excludes the estimated costs of right of way, preliminary engineering and construction engineering.

In order to give local agencies flexibility in determining how their Federal apportionments will be spent, construction engineering costs in excess of 15 percent can now be obligated on individual local agency projects. Approval of costs in excess of 15 percent on specific projects, however, is subject to review for reasonableness by the District Local Assistance Engineer and approval by Office of Local Programs Area Engineers.

Only eligible work performed after the authorization date for construction may be reimbursed. A request for construction must include the field review form and the FHWA-approved environmental document (if not previously sent), as well as a signed right of way/utilities certification; a finance letter; engineer's estimate; Plans, Specifications, and Estimates (PS&E) certification; and the PS&E package.

"Authorization to Proceed with Construction" must be obtained before advertisement (see Exhibit 3-J for an example of an E-76 "Exempt Project"). Projects advertised before authorization are not eligible for Federal reimbursement.

If Caltrans' source inspection services are to be requested, the request must be submitted before the local agency submits the "Request for Authorization to Proceed with Construction" (see "Source Inspection" in Section 16.14 of this manual).

PROCESSING

Upon receipt of the "Request for Authorization," district local assistance staff will input the data from the form directly into the electronic database. Upon completion of input, the project's electronic files are transmitted to headquarters Office of Local Programs (OLP). Review by OLP focuses primarily on project eligibility for the fund type(s) requested, availability of Federal funding and coding requirements.

The OLP Area Engineer electronically transmits the project file to the FHWA in Sacramento. If the project is exempt from the FHWA oversight and approval, this date of transmittal establishes the authorization date for that project phase. For exempt projects, the FHWA accounting staff makes a quick review and forwards the electronic transmittal to the FMIS data files in Washington, D.C. Entry into the FMIS files establishes the obligation of funds for the project. For nonexempt projects, a "hard copy FNM-76" must be prepared for review and authorization (actual signature) by the FHWA. As with exempt projects, the electronic file is used to transmit the data to Washington. Normally, exempt projects are processed more quickly than nonexempt since the FHWA reviewer is not involved in the authorization.

For a subsequent work-phase authorization the agency submits an updated "Request for Authorization." The district processes the updated FADS information in the same manner as above.

AUTHORIZATION/OBLIGATION

The electronic file is monitored directly or via reports by the DLAE and OLP staff. When the DLAE determines that the project has been authorized and obligated, an Authorization to Proceed summary form (E-76) is printed which shows the authorization and obligation dates. This form is then sent to the local agency as verification that they may start that phase of project activity and be eligible for reimbursement by the State with Federal funds. If the project cannot be authorized and/or obligated, the local agency is informed and advised of what corrective actions are necessary. The DLAE also submits a copy of the E-76 to the appropriate MPO/RTPA for their information and use.

Costs incurred prior to authorization are never eligible for FHWA reimbursement (except for FHWA approved ER work). See discussions for each project phase elsewhere in this manual for actions that may jeopardize an entire project phase eligibility if not preceded by authorization. Eligible costs incurred after authorization may be invoiced for reimbursement **only after** both the Federal/State (PR-2) and State/Agency Program Supplemental agreements are prepared and signed (see Chapter 4, "Agreements," for discussion of these agreements).

FUND BALANCES

Certain funds are allocated to the MPO/RTPA by formula under State law. Through the FTIP/FSTIP process, these are distributed to local agencies for specific projects. Caltrans provides reports showing the obligation of funds summarized at the district and MPO/County level. These reports also show fund balances and list the individual city and county projects.

STATE-FUNDS - PROJECT MATCH OR CONTRIBUTION

The State may provide funds to match Federal-aid projects through legislation, such as the Transportation System Management (TSM) matching program or through project specific agreement, e.g. cooperative agreement.

Where the State is providing funds to match or supplement Federal funding, the details of this funding shall be provided with the Request for Authorization submittal. Sufficient information and cost breakdown shall be provided to segregate the State funding.

STATE PROGRAMS - FEDERAL-AID USE

The State may elect to use Federal-aid to fund programs initially proposed for State funds only (frequently called "Federalizing" a project). See Chapters 14 and 16 of the *Local Assistance Program Guidelines* for a specific discussion of the process changes for Federalizing FCR and TSM projects, respectively. A Request for Authorization, which clearly identify these as FCR or TSM projects, must be submitted. When a project uses Federal-aid funds, it must comply with all the applicable Federal-aid procedures described in this manual.

ADVANCE CONSTRUCTION AUTHORIZATION

At times, Federal funds may not be available currently for obligation, but may be anticipated with future budget or administrative actions. If a local agency wishes to proceed with its own funds and still establish an eligibility date for possible future

Federal reimbursement, it may use “Advance Construction Authorization.” The “Request for Authorization” is completed and sent to the DLAE. If Federal funds are not available, the DLAE will ask the agency if it wishes to proceed under advance construction procedures. The agency must have sufficient funds available to cover project expenses until Federal reimbursement funds becomes available and must consider the risk that they may never become available.

The project is authorized and is identified by the letters “AC” in the prefix as well as the use of an appropriation code as shown on the last page of appropriation codes in Exhibit 3-I. This authorization establishes the date for the beginning of reimbursable activities. When and if Federal funds become available, the project is converted by Caltrans and obligation is established under a “true” Federal obligation code. After this is done, the necessary agreements can be processed and invoices can be prepared for reimbursement.

This procedure should be used only when an agency has sufficient funds to cover all the costs and when it is urgent that the project proceed to construction. “Advance Construction Authorization” procedures do not apply to emergency relief projects.

3.2 UNDERFUNDING POLICY

FHWA administrative rules require that Federal funds represent a substantial share of the eligible project costs. The FHWA will not authorize projects with Federal shares below 50 percent of the eligible cost. Caltrans will consider exempt projects with less than 50 percent on a project-by-project basis.

Exceptions to the above Federal funding limitations are permitted on the following types of underfunded projects:

- Advance construction projects
- Bond issue projects
- The preliminary location studies portion of the preliminary engineering and right of way phases

3.3 FTA TRANSFER PROCESS

Under the provisions of the Intermodal Surface Transportation and Efficiency Act (ISTEA) of 1991 and the Clean Air Act, State and local agencies are encouraged to fund projects which promote the development, improvement or use of public mass transportation systems. ISTEA provides local agencies with an increased opportunity to select transit related projects to meet their regional transportation needs.

Section 134 (k) of Title 23 of the United States Code (USC) requires that ISTEA funds made available for public transit projects be transferred and administered in accordance with the requirements of the Federal Transit Act. The Act requirements have been codified in Title 49 of the USC, Chapter 53, “Mass Transportation.” ISTEA funds apportioned to the Federal Highway Administration (FHWA) for “transit type” projects, typically administered by the Federal Transit Administration (FTA), must be transferred from jurisdiction of the FHWA to that of the FTA. Transit related highway projects, typically administered by the FHWA, remain under the jurisdiction of the FHWA.

For transit related projects which could be administered by either the FHWA or the FTA, the applicant or Metropolitan Planning Organization (MPO), has the option of selecting the administering agency, through placement of the project in the Federal Transportation Improvement Program (FTIP). It should be noted that the FTA only accepts applications from agencies that they have certified (typically transit agencies).

BASIC PROCEDURES

The three basic procedures for processing FTA grant applications are contained in Chapter 53, US Code, Sections 5307, 5310, 5311 and 5336. Population density and the project involvement with the purchase of buses and vans for the elderly and disabled are factors considered in determining which Section applies.

- **Sections 5307 & 5336 Procedures** (formerly section 9)

Sections 5307 & 5336 procedures are used by local agencies in urbanized areas of over 200,000 population. Under Sections 5307 & 5336 procedures, the applicant submits the grant application directly to the FTA. The applicant agency deals directly with the FTA on all project-related activities.

For projects in urban areas with 50,000 to 200,000 population, Sections 5307 & 5336 procedures are also used except that the grant application is processed through Caltrans. The local agency sends the grant application to the Caltrans Mass Transportation Program (MTP). Caltrans forwards the application to the FTA and the FTA notifies Caltrans when the grant is approved. Following grant approval, the Applicant deals with the FTA on all project related activities, including reimbursement.

- **Sections 5311 Procedures**

In areas of under 50,000 population areas, Sections 5311 procedures are used. Caltrans Mass Transportation Program acts as the applicant on behalf of the local agencies.

The process begins in July or August by soliciting requests for grant applications. The project must be approved by the County's Regional Transportation Planning Agency (RTPA). Caltrans combines all the applications, including Caltrans-sponsored projects for submittal to the FTA as one grant application. Typically, Caltrans sends the Sections 5311 grant application to the FTA by December. Under the Sections 5311 process, the FTA funding comes through the Caltrans budget and Caltrans reimburses the local entities.

- **Sections 5310 Procedures**

Sections 5310 of the Title 23 US Code authorizes a statewide capital grant program for the purchase of vans and small buses for the elderly and disabled. Originally only non-profit agencies were eligible but now public agencies can apply. These grant applications are also processed through the Caltrans Mass Transportation Program. Historically, there has been very little Caltrans involvement in transfers to this program, but projects do occur.

ADMINISTRATIVE PROCEDURES

Most ISTEA funds transferred to the FTA involve Regional Surface Transportation Program (RSTP) or Congestion Mitigation and Air Quality Improvement Program

(CMAQ) funds. Transportation Enhancement Activities (TEA) and Demonstration funds have also been transferred and others are possible. The following general processing procedures are used to transfer FHWA apportioned funds to the FTA:

1) Application Submittals

- Sections 5307 & 5336 grant applications for areas greater than 200,000 population are submitted by the local agency directly to the FTA (San Francisco Office).
- Sections 5307 & 5336 applications for areas less than 200,000 population are processed through the Caltrans Mass Transportation Program. Caltrans forwards the application to the FTA.
- Sections 5307 & 5336 grants are processed by the FTA on a quarterly basis. Grant applications are received by the FTA at the beginning of the quarter and approved by the end of the quarter (e.g., January and March, respectively), provided all conditions have been met.
- Sections 5311 requests are submitted to the Caltrans Mass Transportation Program. Caltrans transmits a Statewide Grant Application for all Sections 5311 agencies to the FTA (San Francisco) once a year.
- Sections 5311 grants are processed by the FTA on a yearly basis.
- Sections 5310 requests are processed through the Caltrans Mass Transportation Program.
- The Applicant should provide the Caltrans District Local Assistance Engineer (DLAE) with a copy of all applications.

2) FTA Notifications

- The FTA (San Francisco) notifies the Applicant upon receipt of the grant application and assigns a grant number to the application.
- During the quarter, the FTA notifies both the Caltrans Mass Transportation Program and the Caltrans Office of Local Programs (OLP) of the projects they intend to approve by the end of that quarter. If this is the first indication to Caltrans that a grant application for use of local Federal ISTEA funds has been submitted to the FTA, the District Local Assistance Engineer (DLAE) will ask the Applicant to complete Step 3.

3) Applicant "Request for Authorization and FTA Transfer"

- Upon notification of the grant receipt, the Applicant shall prepare a "Request for Authorization and FTA Transfer" and forward it to the DLAE. The project must be included in an FHWA/FTA approved FSTIP prior to transmitting the "Request for Authorization." The Federal funds must not exceed the amount shown in the FSTIP. See Chapter 2, Section 2.10 for fund types which would require a California Transportation Commission vote.

The local agency's Request for Authorization package must indicate the FTA grant number, Federal fund type (STP, CMAQ, etc.), project number, if known, and the correct FHWA Transit Appropriation Code.

Commonly used Federal appropriation codes are:

<u>FHWA Code</u>	<u>FHWA* Transit Code</u>	<u>FTA Transit Code</u>
33C (STP->200,000 pop.)	3AK	AK
33D (STP- Flexible)	3AN	AN
33A (STP- Opt. Safety)	3AL	AL
33P (STP- HES Safety)	3AW	AW
33B (STP- TEA)	3AM	AM
320 (CMAQ)	3AZ	AZ

* Use this appropriation code on the “Request for Authorization” document for FTA Transfer projects.

4) Authorization/Obligation and Transfer of Funds

- Upon notification of pending quarterly approval and receipt of the “Request for Authorization and Transfer to FTA,” the OLP working with the District Local Assistance Engineer, prepares and electronically transmits the Federal authorization document to the FHWA (Sacramento) for the obligation of Federal funds and requests that the funds be transferred to the FTA.

Following the transfer of funds to the FTA, project activities (environmental, right of way, etc.) and any project oversight are subject to FTA requirements and approval, not the FHWA’s. There is no need for a Supplemental Agreement, unless State Transportation System Management match funds for CMAQ or RSTP projects are involved. FTA tracks the projects with their Transit Code.

5) Federal Actions

- The FHWA (Sacramento) obligates the Federal funds and sends a memorandum to the FHWA (Washington) requesting a fund transfer to the FTA.
- The FHWA (Washington) notifies FTA (Washington) that highway funds have been approved for a transit project.
- The FTA (Washington) notifies the FTA (San Francisco) of the availability of the funds.
- The FTA (San Francisco) can award a grant once their requirements have been satisfied (the most common problem for applicants is complying with the FTA’s Labor Compliance regulations).

6) Contract Administration

- As work proceeds, the Applicant bills the FTA (San Francisco) through an automated payment system. FTA procedures permit the Applicant to proceed with project development prior to the grant approval, at their own risk.
- The FTA (San Francisco) notifies the FHWA (Sacramento) of project completion and final costs.
- The FHWA (Sacramento) adjusts the obligation records and financially closes the project.

- Caltrans Local Program Accounting Branch enters project completion status in financial status report and adjusts funding accordingly.

STATE CMAQ/RSTP MATCHING FUNDS (FTA PROJECTS)

After the OLP transmits the Authorization to the FHWA to obligate Federal funds and request the fund transfer to the FTA, the Applicant typically deals only with the FTA. However, if the project qualifies for State CMAQ/RSTP matching funds (see Chapter 7, "Field Review," Exhibit 7-H for eligibility requirements) the following additional steps apply:

- A Program Supplemental Agreement is processed by the OLP for execution by the local agency applicant and the State. This agreement encumbers the State CMAQ/STP matching funds and allows the State Controller to reimburse the local agency with State funds.
- If the State match funds are less than \$300,000, the local agency bills Caltrans, (see Chapter 5, "Accounting/Invoices") for the entire amount after the grant approval and project award. Reimbursement is on a lump sum basis, similar to a grant.
- If the State match funds are greater than \$300,000, the local agency bills Caltrans for the matching amount of the progress billings they submit to FTA. These State funds are subject to adjustment at project completion based on final costs.

Although Caltrans' involvement is minimal in the FTA Transfer process, the transmittal of the "Request for Authorization" to obligate and transfer the funds is a critical step. Caltrans attempts to expedite the "Request for Authorization and Transfer to FTA" once notified that the grant application is pending FTA approval.

3.4 CALIFORNIA TRANSPORTATION COMMISSION - ALLOCATION VOTE

Before right of way (R/W) is acquired or a construction contract is advertised, a California Transportation Commission (CTC) vote is required to allocate funds for the specific project for the following programs:

- Flexible Congestion Relief (FCR),
- Transportation Enhancement Activity (TEA),
- Proposition 116, Bikeway projects
- Environmental Enhancement & Mitigation (EEM)
- Traffic Systems Management (TSM) (with construction and right of way costs greater than \$300,000)

This CTC vote should precede the "Request for Authorization to Proceed with Right of Way" (or Construction) of Federal funds. Before beginning preliminary engineering, the local agency should discuss the current program rules with the District Local Assistance Engineer (DLAE). Generally, preliminary engineering does not require an individual project vote by the CTC.

Exhibit 3-K, "Request for CTC Vote," identifies the project data, costs and environmental approval information which should be submitted to request a Commission allocation. Normally, the Commission meets monthly and about 6 weeks lead time are needed to prepare the request and schedule a vote, therefore, the request

for a vote should precede the request for authorization. Timing is critical so that the allocation vote and Federal authorization do not delay project advertising.

3.5 REFERENCES

- *Financing Federal-Aid Highways*, Federal Publication No. FHWA-PL-92-016, dated May 1992.
- 23 CFR 635.301 et. seq.
- Federal-Aid Data System Instructions 06/02/93
- Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) Stewardship Agreements dated 5/12/92
- 23 USC 134(k)
- 49 USC, Section 5301, et. seq. (Federal Transit Laws)
- *A Guide to Federal-Aid, Programs, Projects and Other Uses of Highway Funds*, Federal Publication No. FHWA-PD-92-018, dated September 1992

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**REQUEST FOR AUTHORIZATION
TO PROCEED WITH PRELIMINARY ENGINEERING (PE)***Local Agency Letterhead*

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
(Federal Number)
(Project Description)

Dear (DLAE Name):

In order to begin reimbursable preliminary engineering for the above project, we request that you secure Federal authorization and obligate funds for this work. The amounts requested do not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP (FSTIP).

Attached are the following documents that are required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Project Prefix Checklist (Exhibit 3-E)
- ☐ Completed Finance Letter (Exhibit 3-F)
- ☐ Completed Data Sheets (Exhibit 3-G)

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review form, or
- ☐ I will not be preparing the final design at this time. I will transmit the Field Review Form at a later date.

Environmental Document

- ☐ Approved Environmental Document
Type of Document _____
Approval Date _____
- ☐ I have not completed the environmental process and will not be preparing the final design at this time. I will transmit the Environmental Document at a later date.

Pre-Award Audit

- ☐ Completed Audit Disposition (Exhibit 10-K), or
- ☐ Audit Disposition was not completed because Federal-aid or State highway funding will not participate in a consultant contract, or
- ☐ Pre-award audit was not done because the consultant contract is for \$250,000 or less, or
- ☐ I will not submit the Audit Disposition at this time. I will submit it to the DLAE prior to entering into a contract with the consultant(s).

I understand that invoice requests for payment will not be processed until an Authorization to Proceed (FNM-76 or E-76) and a Program Supplement Agreement have been executed.

(Check which of the following applies)

- ☐ I plan to request early reimbursement and invoicing for PE costs as incurred. As indicated above, I have included a completed Field Review Form. I am also including the "Agreements Checklist" (Exhibit 4-A) request forms with this transmittal and request that the agreements be prepared now.
- ☐ I do not plan to invoice for PE costs until this phase of the work is completed. I will transmit the "Agreements Checklist" at a later date.

I will not submit any invoice request until I receive notification that the FNM-79/E-76 and Program Supplement Agreement have been executed.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administrator and the California Department of Transportation relative to the above designated project.

I understand that each succeeding phase of the project will require a separate authorization to be eligible for Federal reimbursement. I further understand that this Agency is responsible for costs in excess of the Federal funds obligated and all costs incurred before it has received FHWA "Authorization to Proceed" for that phase of the project.

Please advise us as soon as the authorization has been received. You may direct any questions to (Name_____) at (phone number).

Signed _____
Title _____
Agency _____

Attachments

**REQUEST FOR AUTHORIZATION
TO PROCEED WITH RIGHT OF WAY***Local Agency Letterhead*

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
(Federal Number)
(Project Description)

Dear (DLAE Name):

In order to proceed with the right of way work for the above project, we request that you secure Federal authorization and obligate funds for this work. The amounts requested do not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP(FSTIP).

Attached are the following documents that are required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Project Prefix Checklist, (Exhibit 3-E) or
- ☐ The Project Prefix Checklist was previously submitted and the funding types have not changed.
- ☐ Completed Finance Letter (Exhibit 3-F)
- ☐ Completed Data Sheets (Exhibit 3-G)

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review form, or
- ☐ The Field Review form was previously submitted on _____.

Environmental Document

- ☐ Approved Environmental Document
Type of Document _____
Approval Date _____
- ☐ The Environmental Document was previously submitted and approved.

I understand that invoice requests for payment will not be processed until a Program Supplement Agreement and Federal-aid Project Agreement (PR-2) have been prepared and executed.

(Check which of the following applies)

- ☐ I plan to request reimbursement and invoicing for right of way costs as incurred. As indicated above, I have included a completed Field Review Form. I am also including the "Agreements Checklist" (Exhibit 4-A) request form with this transmittal and request that the agreements be prepared now.
- ☐ I do not plan to invoice for right of way costs until this phase of the work is completed. I will transmit the "Agreements Checklist" at a later date.

I will not submit any invoice requests until I receive notification that the Program Supplement Agreement and PR-2 have been executed.

CTC ALLOCATION

Check which of the following applies:

- ☐ A CTC allocation vote is not required, or
☐ The required CTC allocation has been scheduled for the _____ meeting, or
☐ The required CTC allocation was voted at the _____ meeting.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administrator and the California Department of Transportation relative to the above designated project.

I understand that this Agency is responsible for costs in excess of the Federal funds obligated and all costs incurred before it has received FHWA "Authorization to Proceed" with this phase of the project.

Please advise us as soon as the authorization has been received. You may direct any questions to (Name) at (phone number).

Signed _____
Title _____
Agency _____

Attachments

**REQUEST FOR AUTHORIZATION
TO PROCEED WITH CONSTRUCTION***Local Agency Letterhead*

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
(Federal Number)
(Project Description)

Dear (DLAE Name):

In order to advertise, award and administer the construction contract for the above project, we request that you secure Federal authorization and obligate funds for this work. The amounts requested do not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP(FSTIP).

Attached are the following documents that are required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Project Prefix Checklist (Exhibit 3-E), or
- ☐ The Project Prefix Checklist was previously submitted and the funding types have not changed.
- ☐ Completed Finance Letter (Exhibit 3-F)
- ☐ Completed Data Sheets (Exhibit 3-G)

Field Review Form (Exhibit 7-A)

- ☐ Completed Field Review form, or
- ☐ The Field Review form was previously submitted on _____.

Environmental Document

- ☐ Approved Environmental Document
Type of Document _____
Approval Date _____
- ☐ The Environmental Document was previously submitted and approved.

Right of Way Certification (Exhibits 13-A and B)

- ☐ Right of Way Certification, or
- ☐ The Right of Way Certification was submitted and accepted on _____.

PS&E Package and PS&E Certification

- ☐ Completed PS&E package and PS&E Certification, or
- ☐ The PS&E package and PS&E Checklist were submitted and accepted on _____.

Local Agency Construction Contract Administration Checklist

- ☐ Local Agency Construction Contract Administration Checklist (Exhibit 15-A), or
- ☐ The Local Agency Construction Contract Administration Checklist was previously submitted and our procedures have not changed.

I understand that invoice requests for payment will not be processed until a Program Supplement Agreement and Federal-aid Project Agreement (PR-2) have been prepared and executed.

(Check which of the following applies)

- ☐ I am including the "Agreements Checklist" request form with this transmittal and request that the agreements be prepared now.
- ☐ I will transmit the "Agreements Checklist" request form upon award of the construction contract.

I will not submit any invoice requests until I receive notification that the Program Supplement Agreement and PR-2 have been executed.

CTC ALLOCATION

Check which of the following applies:

- ☐ A CTC allocation vote is not required, or
- ☐ The required CTC allocation has been scheduled for the _____ meeting, or
- ☐ The required CTC allocation was voted at the _____ meeting.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administrator and the California Department of Transportation relative to the above designated project.

I understand that this Agency is responsible for costs in excess of the Federal funds obligated and all costs incurred before it has received FHWA "Authorization to Proceed" with this phase of the project.

Please advise us as soon as the authorization has been received. You may direct any questions to (Name) at (phone number).

Signed _____
Title _____
Agency _____

Attachments

**REQUEST FOR AUTHORIZATION
AND TRANSFER OF FUNDS
TO THE FEDERAL TRANSIT ADMINISTRATION (FTA)**

Local Agency Letterhead

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
(Federal Number)
(Project Description)

Dear (DLAE Name):

We have received notification of pending grant application approval for this public transit project and request that you secure Federal authorization and obligate funds for this work. We also request that you transfer these funds to the Federal Transit Administration (FTA) for administration. The amounts requested do not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP(FSTIP).

Attached are the following documents that are required to authorize this project and transfer the funds to the FTA:

Request for Authorization Package

- ☐ Completed Project Prefix Checklist (Exhibit 3-E)
- ☐ Completed Finance Letter (Exhibit 3-F)
- ☐ Completed Data Sheets (Exhibit 3-G)

Grant Application

- ☐ Copy of Grant Application
FTA Grant Number _____

I understand that invoice requests for payment of Federal funds will be processed by the FTA and that Caltrans will only process invoices requests for State CMAQ/RSTP (TSM) matching funds. I further understand that invoice requests for payment of the matching funds will not be processed by Caltrans until a Program Supplement Agreement has been prepared and executed.

(Check which of the following applies:)

- ☐ The project qualifies for CMAQ/RSTP matching funds. I have attached the completed State TSM Match Request and the Agreement Checklist (Exhibit 4-A) form and request that the Program Supplement Agreement be prepared, or
- ☐ The project does not qualify for CMAQ/RSTP matching funds.

(If the project qualifies for CMAQ/RSTP matching funds, check which of the following applies:)

- ☐ The match funds are \$300,000 or less. I will invoice Caltrans for the entire amount after the grant approval and project award, or
- ☐ The match funds are greater than \$300,000. I will invoice Caltrans for the matching amount of progress invoices submitted to FTA.

I will not submit any invoice request until I receive notification that the Program Supplement Agreement has been executed.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. Following the transfer of funds to the FTA, this agency agrees to comply with the applicable terms and conditions set forth in Title 49, U.S. Code, Chapter 53, "Mass Transportation," and the policies and procedures promulgated by the Federal Transit Administration relative to the above designated project.

Please advise us as soon as the authorization and transfer of funds to the FTA have been received. You may direct any questions to (Name_____) at (phone number_____).

Signed _____
Title _____
Agency _____

Attachments

REQUEST FOR AUTHORIZATION**Project Prefix Checklist**

Federal Programs: Identify each fund type to be used for this project

Prefix Program

- ☐ (STP) Surface Transportation Program
- ☐ (MA) Minimum Allocation
- ☐ (DB) Donor Bonus
- ☐ (BH) Bridge Rehabilitation
- ☐ (BR) Bridge Replacement
- ☐ (CM) Congestion Mitigation & Air Quality
- ☐ (AHL) Access Hwys to Public Recreation Areas
- ☐ (ER) Emergency Relief
- ☐ (PLH) Public Lands Highway
- ☐ Demonstration Project; varies, specify if known _____
- ☐ Other: Specify _____

Sub-Programs

(Check all that Apply)

- ☐ (L) Local (Fund appropriation management)
- ☐ (S) State (State approp. management) not normally handled in OLP
- ☐ (N) On National Highway System
- ☐ (R) Safety - Railroad
- ☐ (H) Safety - HES Program List Number _____
- ☐ (G) 100% Federal Funding (for Safety)
- ☐ (P) Bridge Painting
- ☐ (X) Bridge Rail replacement
- ☐ (Z) Seismic Retrofit - State Mandatory Pgm.
- ☐ (V) Seismic Retrofit - Voluntary Pgm.
- ☐ (E) TEA - Transportation Enhancement Activities
Second vote request _____ or Vote date _____

Bridge (HBRR) only Sub-Programs

- ☐ (S) On System (Functional classification greater than below)
- ☐ (O) Off System (Local Street/Road or Rural minor collector)

Additional State Funds involved (info only - does not affect prefix)

- ☐ TSM - Traffic System Management - Match ____ Other ____
- ☐ SLTPP - St. & Loc. Trans. Partnership Prog.
- ☐ FCR - Flexible Congestion Relief
- ☐ Other: Specify _____

The prefix provides a quick summary of the funding programs and subprograms.

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FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Project No.: _____
EA No.: _____

Attention.: _____

	TOTAL COST OF WORK	TOTAL PARTICIPATING COST	FEDERAL FUNDS (Fed-Aid code: _____)	LOCAL FUNDS	OTHER FUNDS Type:	OTHER FUNDS Type:
Agency Preliminary Engineering						
State Furnished Preliminary Engineering						
Overhead at _____%						
R/W Engineering & Administration Costs						
R/W Purchase Costs						
Relocation Assistance (SJ 3A055)						
Contract Items _____						
Utilities _____						
Contingencies _____						
Trainees _____						
Agency Furn. Mat. _____						
Contract Total _____						
Agency Construction Engineering						
State Furn. Construction Engineering						
Overhead at _____%						
State Furnished Materials Testing						
Overhead at _____% EA No. _____						
Force Account (Day Labor) - striping, etc.						
TOTAL:						

Federal Participation: _____%

Signature: _____

Questions regarding this finance letter should be directed to:

Printed name: _____

Reimbursement. Ratio: _____%

Title: _____

Telephone number: _____

REMARKS:

Distribution All Projects: (1) Original + 4 copies-Caltrans District Local Assistance Engineer. (2) Copy-Local Agency Project File

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**REQUEST FOR AUTHORIZATION
DATA SHEET 1****AGENCY** _____

FLAG: _____ (1)

LOCATOR: _____ (9)

PROJ(AGR) NO.: _____ (2) (____)

(DIST., CO., RTE., AGCY. ABBREV.)

EA: _____ (3)

PROJ. LOCATION: _____ (10)

PREFIX: _____ (4)

RESP AGENCY: _____ (5)

EXEMPT ____ or (6)

TYPE OF WORK: _____ (11)

CA Y ____ N ____

RTE: _____ (7)

PM: _____ (8)

THIS REQ.: _____ (12) FOR: _____

DEMONSTRATION PROJECTS: Estimated Construction Date _____ (12a)

FSTIP FTIP/DATA	INTERGOVERNMENTAL REVIEW	RIGHT OF WAY ESTIMATE	
	(16)	(19)	TOTAL COST
URBANIZED: _____ (13) POP: _____ (14)	EXEMPT: _____ COMMENT: _____	R/W ACQ (Pcls): _____	\$ _____
MPO: _____	STATE OPR#: _____	RAP (Fmls): _____	\$ _____
YEAR _____ (15)	AREA IGR #: _____	(Bus): _____	\$ _____
APPV. DATE: _____	ENVIRONMENTAL DATA	LRH/HRDSHP: _____	\$ _____
SHEET NO. : _____	TYPE: _____ (17)	UTILITIES: _____	\$ _____
TIP NO (PPNO): _____	EIS (Yr & #) _____	SUPPORT: _____	\$ _____
	APPROVED _____		
RR XING #S _____ (24)		TOTAL: _____	\$ _____
RR-PUC #: _____	INITIAL FED AUTHORIZATION		
_____	PE Date: _____ (18)	ENERGY: _____ (20) %	TOPICS: _____ (21)
_____	RW Date: _____	R/W CERT.: _____ (22)	
RR-FED #: _____	CON Date: _____	R/W CERT DATE: _____	

Prepared by : _____ (23)

PHONE: _____ DATE: _____

**REQUEST FOR AUTHORIZATION
DATA SHEET 2**

PROJ/AGR NO: _____ (_____)
CMAQ Projects: Air Basin (Name & Code) _____ (25)
Local Agency/State Comments: _____ (26)

PROJ/AGR NO: _____ (_____)
APPN: _____ (30) LINE NUMBERS: _____ (31) URBAN/RURAL: _____ (32) COUNTY CODE: _____ (33)

CONGRESSIONAL DIST(S): (34)

APPN COUNT:	(35)	NO OF RELOC PAY:	(36)	STATISTICAL DATA	
WORK CLASS:	(37)	WORK TYPE (1-4):	(38)	NUMBER OF:	
FUNCTION CLASS:	(39)	SAFETY/RR:	(40)	LANES	(50)
FED AID SYS:	(41)	FED RES SYS:	Z	STRUCTURES	(51)
STATE SYS	(43)	CONST BY:	(44)	BUSES/OTHER VEHICLES	(52)
MILES:	(45)	KILOMETERS:		INTERSECTIONS IMPROVED	(53)
LANE MILES:	(46)	LANE KILOMETERS:		PROJECTS	(54)
				CROSSINGS PROTECTED	(55)
				CROSSINGS IMPROVED	(56)
	(47)	(48)	(49)	TRF/MGT/CNTRL PROJECTS	(57)
	TOTAL	PARTICIPATING	FEDERAL	OPERATING PROGRAMS	(58)
	COST	COSTS	FUNDs	PARKING SPACES:	(59)
PREVIOUS. OBLIG:	_____	_____	_____		
THIS REQUEST:	_____	_____	_____		
TOTAL:	_____	_____	_____		

BRIDGE #'S _____ (60)

REQUEST FOR AUTHORIZATION
DATA SHEET 3

PROJ/AGR NO: _____ (_____)

DETAIL RECORD #/ #: _____

APPN: _____ LINE NUMBER: _____ URBAN/RURAL: _____ COUNTY CODE: _____

CONGRESSIONAL DISTRICTS: _____

APPN COUNT:	_____	NO OF RELOC PAY:	_____	STATISTICAL DATA
WORK CLASS:	_____	WORK TYPE (1-4):	_____	NUMBER OF:
FUNCTION CLASS:	_____	SAFETY/RR:	_____	LANES:
FED AID SYS:	_____	FED RES SYS:	_____	STRUCTURES:
STATE SYS:	_____	CONST BY:	_____	BUSES/OTHER VEHICLES:
MILES:	_____	KILOMETERS:	_____	INTERSECTIONS IMPROVED
LANE MILES:	_____	LANE KILOMETERS:	_____	PROJECTS:
				CROSSINGS PROTECTED:
				CROSSINGS IMPROVED
				TRF/MGT/CNTRL PROJECTS:
				OPERATING PROGRAMS:
				PARKING SPACES:
	TOTAL	PARTICIPATING	FEDERAL	
	COST	COSTS	FUNDS	
PREVIOUS. OBLIG:	_____	_____	_____	
THIS REQUEST:	_____	_____	_____	
TOTAL:	_____	_____	_____	

BRIDGE #'S _____

PROJ/AGR NO: _____ (_____)

DETAIL RECORD #/ #: _____

APPN: _____ LINE NUMBER: _____ URBAN/RURAL: _____ COUNTY CODE: _____

CONGRESSIONAL DISTRICTS: _____

APPN COUNT:	_____	NO OF RELOC PAY:	_____	STATISTICAL DATA
WORK CLASS:	_____	WORK TYPE (1-4):	_____	NUMBER OF:
FUNCTION CLASS:	_____	SAFETY/RR:	_____	LANES:
FED AID SYS:	_____	FED RES SYS:	_____	STRUCTURES:
STATE SYS:	_____	CONST BY:	_____	BUSES/OTHER VEHICLES:
MILES:	_____	KILOMETERS:	_____	INTERSECTIONS IMPROVED
LANE MILES:	_____	LANE KILOMETERS:	_____	PROJECTS:
				CROSSINGS PROTECTED:
				CROSSINGS IMPROVED
				TRF/MGT/CNTRL PROJECTS:
				OPERATING PROGRAMS:
				PARKING SPACES:
	TOTAL	PARTICIPATING	FEDERAL	
	COST	COSTS	FUNDS	
PREVIOUS. OBLIG:	_____	_____	_____	
THIS REQUEST:	_____	_____	_____	
TOTAL:	_____	_____	_____	

BRIDGE #'S _____

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REQUEST FOR AUTHORIZATION

APPLICATION INSTRUCTIONS

General

A request form shall be submitted whenever a local agency desires Federal participation in a phase of work. The request will be completed to provide all necessary project information for FHWA authorization. The request must be processed by Caltrans and the FHWA and an "Authorization to Proceed" (E-76) must be issued before any federally reimbursable work is initiated and before the project is advertised for construction.

Federal funds shall not participate in costs incurred prior to the date of the "Authorization to Proceed." Emergency repairs and preliminary engineering for emergency repairs or restoration are an exception to this requirement.

Coding lists are provided in Exhibit 3-I and have been abbreviated to those most commonly used for local agency projects.

Applicant Agency: Indicate the name of the agency preparing the request and receiving project funding. Normally, this will be the same as the Responsible Agency coded in (5) below. If not, explain in the comments.

Basic project information (Header Input)

- 1) **FLAGS** - These identify possible need for special handling or review by Caltrans or FHWA. Code if appropriate, otherwise leave blank.

FTA1 = FTA transfer for vehicles

FTA2 = FTA transfer other

DEMO = Project funded with Demonstration funds. Must include estimated date of construction (12a).

FCR = Flexible Congestion Relief project

TSM = Transportation System Management project

- 2) **PROJECT NO. (AGREEMENT NO.)** - For initial authorization, Caltrans DLAE/OLP will complete these Federal project and agreement numbers. For resubmittals, complete as shown on the previous authorization.
- 3) **E.A.** - Expenditure Authorization, OLP assigns this control number. For computer input, it consists of a 2-digit district number, 6-digit EA number and a suffix L. The L indicates that the Federal funds are administered by the Office of Local Programs. An S suffix would indicate that the funds are administered by the Office of Federal Resources from funds allocated from the State highway account. These are not handled by OLP. It is possible to have both types of funding for one project. Usually in this case, separate Federal project numbers are assigned.
- 4) **PREFIX** - For initial submittal, complete the prefix checklist. Caltrans uses this list to assign the project prefix. On resubmittals enter the assigned prefix. If other Federal fund types are added to later phases complete the prefix check list and note in the comments.
- 5) **RESPONSIBLE AGENCY** - Insert the standard agency code assigned by OLP (LOCODE) for the Agency responsible for development of the project (i.e., CALTRANS, City of, County, etc.). The District Local Assistance Engineer can provide this code. For ISTEA projects, this locode normally becomes part of the project number.

- 6) EXEMPT - See discussion under stewardship, Chapter 2, "Roles and Responsibilities," Section 2.4 defining which projects are exempt from FHWA oversight. Basically, all projects not on the NHS, less than \$1.0 million or 3R (resurfacing, restoration or rehabilitation) except Interstate are exempt.

If project is exempt from FHWA review and oversight under stewardship enter E.

If the project is not exempt, indicate certification acceptance status:

CERTIFICATION ACCEPTANCE - Indicate if project is being processed under State level Certification Acceptance (CA) or not.

For a nonexempt project:

Interstate are not CA, code as CA= N

Others code as CA = Y

On further contract documents, place this code immediately after the project number (agreement number) as a quick means of identifying the type of FHWA involvement. e.g. STPL-4060(016)E

- 7) RTE - Enter the route(s) for projects on the State Highway System.
- 8) PM - Enter the post mile(s) for projects on the State Highway System.
- 9) LOCATOR (DISTRICT-CO-RTE-{PM/AGENCY}) - Complete Dist-County-Route (State Route only, default = 0)-Post Miles (St. Rte) or Agency abbreviation. This group is called Project Locator.
- 10) PROJECT LOCATION - Enter a description of project termini. For initial programming of multi-location project use Comments or attach a separate sheet listing all locations and Federal route numbers.
- 11) TYPE OF WORK - Fully describe the work proposed (e.g., "Median Widening and channelization for left-turn lane").
- 12) THIS REQUEST - Code from table¹, phase or phases requested (3 digits). For projects involving transfer of funds to FTA use "OTH."

Under FOR - elaborate on type of work or activity, e.g., environmental studies, contract, force account.

Request for authorization may be for an entire phase or a specific task(s) within a phase. For projects involving transfer of funds to FTA include FTA grant number. Add notes in REMARKS if needed.

- 12a) If a DEMONSTRATION PROJECT - Enter Estimated Date of Construction: Award Month & Year MM/YY
- 13) URBANIZED AREA CODE - Fill in Federal area code for any area of 50,000 or greater.
- 14) POPULATION - Enter 1 = 50,000 to 200,000
 2 = Over 200,000
- 15) FTIP/FSTIP DATA. - Insert name of MPO, Fiscal Year, Date Approved by FHWA, Sheet No., and TIP project number (PPNO) if any. If not in an MPO enter FSTIP and appropriate data for it. If in an amendment add amendment number.
- 16) IGR (INTERGOVERNMENTAL REVIEW) - Enter Y if Exempt or N Not Exempt from review. If not

¹ Code tables begin immediately after these instructions and are cross referenced by the list number on the form and in these instruction lists.

exempt, indicate if there were comments, enter A Areawide review comments or S State review comments. Enter State and/or areawide clearinghouse assigned review number.

17) ENVIRONMENTAL DATA - Enter code for TYPE of document prepared:

- 1 = Environmental Impact Statement
- 2 = Categorical Exclusion
- 3 = Finding of No Significant Impact.

- If an EIS, add year & number of Federal approval, otherwise leave blank
- Enter date of Federal Environmental Document approval.

If approval is a Programmatic CE, use as appropriate 02/05/90 or 09/07/90. In **Local/State Comments** field indicate "Programmatic CE for Seismic Retrofit determination of February 5, 1990" or "Programmatic CE determination of September 7, 1990" plus Caltrans' approval date.

- 18) INITIAL FEDERAL AUTHORIZATION - Indicate initial authorization date. If project was previously authorized under a different Class of Federal Funds or Project Number, indicate here.
- 19) RIGHT OF WAY - Provide necessary right of way (R/W) information if Federal funds are requested for Right of Way. Include number and cost of parcels, families, businesses and Last Resort Housing/Hardship (i.e. 17 pcls - \$700,000). Support costs include preliminary R/W work.
- 20) ENERGY RELATED - If the project is an energy conservation activity, in whole or part, indicate the percentage of funds allocated to this activity. Public transportation, ride sharing, traffic signals/controls, and HOV facilities would be examples of this type of work. At the right of way stage make a reasonable estimate.
- 21) TOPICS - Code whether the project is a Traffic Operations Improvement Program.

Enter T if a TOPICS type project and N if not.

These projects would include signals or signal coordination, improved transit service, and other actions to improve traffic flow or reduce congestion.

- 22) Code Right of Way certification category and date of FHWA approval.
See Chapter 13 of this manual for details, briefly:

- Code 1 Certification 1 - Full legal and physical possession and property vacated by occupants
- Code 2 Certification 2 - Full physical possession and property vacated by occupants.
- Code 3 Certification 3 - Used on an exception basis. Physical possession not complete, but "date certain" set for accomplishment. May authorize and advertise but must be upgraded to Certification 1 or 2 to open bids.
- Code 4 Code as a 4 if your Certification #1 indicates that all right of way was acquired for a previous project and there are no other right of way actions, e.g., utilities, easements, material or disposal sites, obstructions, or railroads.

The certification data must be complete to proceed with Construction authorization.

- 23) PREPARED BY - Name of preparer, contact phone number and date prepared.

- 24) RR X'ING #S - Enter PUC and Federal Railroad crossing numbers if this is a crossing improvement project. Normally, these are initiated in OLP.
- 25) CMAQ AIR BASIN - For any project using Congestion Mitigation and Air Quality funds (CMAQ) identify the air basin where the project will be implemented. Enter Air basin name & code from locode list in Exhibit 3-I of this manual.
- 26) LOCAL AGENCY/STATE COMMENTS - For State or local agency use. In this space add justification or clarification information and a description of any reports submitted with request. If this is being submitted to update data but there is no funding change, clearly indicate here. This may not be processed until a funding update, depending on the significance of the change. Changes or additions in appropriation codes must be processed.

If using the Utility Alternate Procedure, separately list the name of each utility and its relocation cost estimate; this will be submitted with the Authorization to Proceed with Utility Relocation. This information will then be listed on the E-76.

- 27) - 29) reserved - no entries at this time

Detail Record: Cost Estimate and related details

Detail record information must be completed to accurately reflect the funding breakdowns for the project. A new record must be prepared for each appropriation used and for each phase change (work class) and each work type change within that appropriation. Construction and construction engineering each require their own detail record. Add as many detail record sheets as needed. Generally, work type groups would be limited to major items of work, e.g. 5% roadway approach work for a project with 95% Bridge work would include all costs in the bridge work type detail record. See Chapter 15, "Advertise and Award Project" (Exhibit 15-M, "Detail Estimate") of this manual for work groupings which require a specific detail breakout. Bridge work is a major type needing its own detail estimate and authorization detail record.

PREFIX - PROJECT NO. -AGREEMENT NO. - Repeat the number or project location to tie to first page as needed.

DETAIL RECORD #: Indicate which detail record and how many, e.g. 1/3.

- 30) APPROPRIATION CODE - Enter the Federal appropriation code. A list of common ISTEA programs and codes is provided. If uncertain, your MPO/RTPA or DLAE may provide this for you.
- 31) LINE NUMBER - All data on this sheet is recorded by the appropriation code then the line number. See Exhibit 3-I of this manual for choices. For each appropriation code, line numbers for the remaining work breakdowns must be unique. Start with the lowest number in a sequence and sequence upward, e.g. 30, 31, 32. When changing to a new appropriation code, start again at the lowest number in a sequence.
- 32) URBAN/RURAL AREA - Code U or R. Note: Urban areas are >5,000 while Urbanized areas previously used in item (13) start at 50,000.
- 33) FEDERAL COUNTY CODE - From the list enter the code (see Exhibit 3-I of this manual).
- 34) CONGRESSIONAL DISTRICT - From the coding list enter the code **only if there are multiple districts** within a county. Coding between this and the county must correspond.
- 35) APPROPRIATION COUNT - Indicate the number of Federal appropriation codes used to fund the project. On each detail sheet, put the total number.
- 36) NUMBER OF RELOCATION PAYMENTS - Enter number of payments for relocation of families or businesses.

37) WORK CLASS - 1 digit code for phases of work:

<u>1</u> = Preliminary Engineering	<u>P</u> = Planning (HPR/PR funded only)
<u>2</u> = Right of Way	<u>R</u> = Research (HPR/PR funded only)
<u>3</u> = Construction	<u>T</u> = Transit or Training

38) WORK TYPE - 4 digit code for types of work activities being funded. Must be coded from tables.

39) FUNCTION CLASS - This 4 digit code consists of two parts: 2 digits for the Highway Type and 2 digits for the Type of Improvement. See code tables in Exhibit 3-I of this manual and select appropriate type.

40) SAFETY/RR CODE - See Safety list for Codes and which Statistical Data block to complete.

41) FEDERAL AID SYSTEM - Coding for the pre-ISTEA systems. See list and select appropriate code.

42) FEDERAL RESERVATION SYSTEM - Coding for projects on Federal lands. Precoded as Z - not on any Federal Reservation/Park system. Correct from code list if needed.

43) STATE SYSTEM CODE - Coding for Local/State road system:

<u>L</u> = Local	<u>M</u> = Multi-system
<u>S</u> = State	<u>Z</u> = Not on State/local system

44) CONST. BY - 1 digit code defining how (by whom) this work will be performed:

<u>C</u> = Contract	<u>S</u> = State Force Account
<u>F</u> = Federal Hwy. Forces	<u>U</u> = Public Utility Force Account
<u>L</u> = Public Agency	<u>O</u> = Other Force Account
<u>R</u> = Railroad Force Account	

Must use L or S for PE & CE.

45) LENGTH (MILES OR KILOMETERS) - Enter the centerline length of the project for construction phases (work class 3). If using multiple appropriations, prorate length by line number, work type and county. Do not duplicate. May report to 1/1000. Report only miles or kilometers not both.

46) LANE MILES/KILOMETERS - For roadway construction only, and if improvement type is 01 to 07 or 15 or 16, and if work type is A000 to K000 or YHOV, report to the nearest hundredths of a unit.

COSTS - Segregate costs by Phase and work type activity within the construction phase with separate detail records. Previous costs are those already authorized and obligated with this same project and agreement number. Participating costs are not input, but are used to define whether the project is fully federally funded. Note that construction and construction engineering costs are separate detail records.

47) TOTAL COST - The total project cost for the phase or task(s) within phase requested at this time. Also, indicate all previously obligated funds.

48) PARTICIPATING COSTS - Enter the costs eligible for participation in Federal reimbursement.

- 49) **FEDERAL FUNDS** - The Federal funds share of the phase(s) of work that are requested. This cannot be more than the fund reimbursement ratio times the participating costs. **Always round down to the nearest dollar.** If less than the standard ratio, see discussion on “Underfunding” (Section 3.2) of this chapter and discuss in COMMENTS.
- 50) - 59) Statistical data. Normally enter only one of these items per detail record. Report with work class 3 and do not duplicate count. Report with predominant work type.
- 50) Number of lanes for roadway work.
 - 51) Number of structures for bridge work.
 - 52) Number of bus or transit vehicles, new or rehabilitation
 - 53) - 56) See the safety code in item (40) for which to report.
 - 57) Number of Traffic Monitoring, Management or Control Projects, normally 1
 - 58) Number of Operating Programs, normally 1
 - 59) Number of Parking spaces Provided
- 60) **BRIDGE NUMBERS** - Enter the Bridge Inventory Structure Number for this corresponding Work Type Code for each structure funded by this Appropriation and Improvement Type. If using more than one Appropriation or Improvement Type, repeat on that detail sheet also.

**LOCAL PROGRAM INTERMODAL SURFACE TRANSPORTATION
EFFICIENCY ACT (ISTEA) FEDERAL AID PROGRAMS
APPROPRIATION CODES & REIMBURSEMENT %**

Appropriation Code	Project Designation	Class of Funds	Federal Reimbursement Rate**
Surface Transportation Program - General Activities			
33C	STPL	Surface Transportation Program, Urbanized Areas, Pop. >200,000	88.53%
3AK	STPL	Surface Transportation Program Urbanized Areas, Pop. >200,000 FTA Transfer	88.53%
33S	STPLG	Surface Transportation Program Urbanized Area, Pop. >200,000 100% Federal Particip. for Safety	100%
33D*	STPL	Surface Transportation Program, Any Area	88.53%
33T	STPLG	Surface Transportation Program, Any Area 100% for Safety	100%
3AN	STPL	Surface Transportation Program, Any Area, FTA Transfer	88.53%
Minimum Allocation			
34A	MAL	Minimum Allocation, Any Area	88.53%
34B	MAL	Minimum Allocation, Urbanized Areas Population over 200,000	88.53%
3BC	MAL	Minimum Allocation, Urbanized Area, Pop. >200,000, FTA Transfer	88.53%
Donor State Bonus			
35A	DBL	Donor State Bonus, Any Area	88.53%
35B	DBL	Donor State Bonus, Urbanized Areas Population over 200,000	88.53%

* Also used in place of 33E and 3AA

** Pedestrian Walkway & Bicycle Facilities reimbursed at 80% for all funds if authorized prior to November 28, 1995. Normal rate for program afterward.

LOCAL PROGRAM INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)
FEDERAL AID PROGRAMS: APPROPRIATION CODES & REIMBURSEMENT %

Appropriation Code	Project Designation	Class of Funds	Federal Reimbursement Rate**
STP, Transportation Enhancement Activities (TEA)			
33B	STPLE	Surface Transportation Program, TEA	88.53%
33R	STPLEG	Surface Transportation Program, TEA, 100% Federal Participation for Safety	100%
3AM	STPL	Surface Transportation Program TEA, FTA Transfer	88.53%
STP, Hazard Elimination Safety Program (HES)			
33P	STPLH	Surface Transportation Program, HES Program	90%
33Z	STPLHG	Surface Transportation Program, HES Program, 100% Participation for Safety	100%
33A	STPLH	Surface Transportation Program, Safety (Optional)	90%
33Q	STPLHG	Surface Transportation Program, Safety, 100% Federal Particip. for Safety (Optional)	100%
STP, Rail-Hwy. Crossing Program (RR)			
33M	STPLR	Surface Transportation Program, RR Protective Devices	90%
33X	STPLRG	Surface Transportation Program, RR Protective Devices, 100% Federal Participation for Safety	100%
33N	STPLR	Surface Transportation Program, RR, Elimination of Hazards	90%
33Y	STPLRG	Surface Transportation Program, RR, Elimination of Hazards, 100% Federal Participation for Safety	100%

** Pedestrian Walkway & Bicycle Facilities reimbursed at 80% for all funds if authorized prior to November 28, 1995. Normal rate for program afterward.

**LOCAL PROGRAM INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)
FEDERAL AID PROGRAMS: APPROPRIATION CODES & REIMBURSEMENT %**

Appropriation Code	Project Designation	Class of Funds	Federal Reimbursement Rate**
Congestion Mitigation and Air Quality (CMAQ)			
32Ø	CML	Congestion Mitigation and Air Quality Improvement Program	88.53%
3AZ	CML	Congestion Mitigation and Air Quality Improvement Program FTA Transfer	88.53%
32A	CMLG	Congestion Mitigation and Air Quality Improvement Program, 100% Federal Participation for Safety	100%
Highway Bridge Replacement and Rehabilitation Program (HBRR)			
117*	BRLO	Bridge Replacement, Rehabilitation, Painting (on EBL****), Low Water Crossing (15% Off System)	80%
118*	BRLS	Bridge Replacement, Rehabilitation, Painting (on EBL****), Low Water Crossing (65% On System)	80%
114	BRLS or BRLO	Bridge Replacement, Rehabilitation, Painting (on EBL****), Low Water Crossing (20% On or Off System)	80%
Highway Bridge Replacement and Rehabilitation Program (HBRR) (Using HBRR Funds Converted to STP-33D)			
33D/BMS***	STPLZ	Seismic Retrofit, Mandatory	88.53%
33D/BVS***	STPLV	Seismic Retrofit, Voluntary	88.53%
33D/BRP***	STPLX	Bridge Barrier Rail Replacement	88.53%
33D/BPT***	STPLP	Bridge Painting (all projects with PE authorized on or before June 13, 1997)	88.53%
33D/BPT***	STPLP	Bridge Painting (Projects not on EBL****)	80%

* Also used in place of 33E and 3AA

** Pedestrian Walkway & Bicycle Facilities reimbursed at 80% for all funds if authorized prior to November 28, 1995. Normal rate for program afterward.

*** 33D /xxx = Local Project Accounting Subcodes

**** EBL = Eligible Bridge List and with PE authorized after June 13, 1997

LOCAL PROGRAM INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)
FEDERAL AID PROGRAMS: APPROPRIATION CODES & REIMBURSEMENT %

Appropriation Code	Project Designation	Class of Funds	Federal Reimbursement Rate**
Emergency Relief			
Ø98, Ø83, Ø9E, Ø9G	ER	Emergency Relief codes vary with disaster	100% Emerg. Repair in 1st 180 days otherwise Std. Rate (88.53%)
Special Programs			
18E	PLH	Public Lands Highways, Fiscal Year 1992 and Subsequent Years	100%
19A	FLH	Forest Highways, Fiscal Year 1992 and Subsequent Years	100%
36Ø	BRL	High Cost Bridge Projects, Section 1103	80%
361	CRL	Congestion Relief Projects, Section 1104	80%
365	RAL	Rural Access Projects, Section 1106(a)	80%
366	UAL	Urban Access and Urban Mobility Projects, Section 1106(b)	80%
367	DIL	Innovative Projects, Section 1107	80%
368	PIL	Priority Intermodal Projects, Section 1108	80%

For pre-ISTEA appropriation codes, newly added codes, or codes used for the State Highway program, consult your District Local Assistance Engineer.

** Pedestrian Walkway & Bicycle Facilities reimbursed at 80% for all funds if authorized prior to November 28, 1995. Normal rate for program afterward.

**LOCAL PROGRAM INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)
FEDERAL AID PROGRAMS: APPROPRIATION CODES & REIMBURSEMENT %**

Appropriation Code	Project Designation	Class of Funds	Federal Reimbursement Rate**
Advance Construction			
ØAD	ACCM	Congestion Mitigation and Air Quality Improvement	88.53%
ØAE		High Cost Bridge Projects, Section 1103 (f)	80%
ØAF		Congestion Relief Projects, Section 1104 (f)	80%
ØAH		High Priority Corridors on National Highway System, Section 1105	80%
ØAK		Rural Access Projects, Section 1106 (a) (5)	80%
ØAL		Urban Access and Mobility Projects Section 1106 (f)	80%
ØAM		Innovative Projects, Section 1107 (f)	80%
ØAN		Priority Intermodal Projects, Section 1108 (f)	80%
ØAU		STP, TEA	88.53%
ØBK		STP	88.53%
ØBP		CMAQ, 100% for Safety	100%

(12) THIS REQUEST: 3 digit code

CODE	USED FOR
PRE	Preliminary Engineering.
R/W	Right Of Way.
CON	Construction.
ALL	Requesting All Three (3) Of Above.
P/R	Preliminary Engineering And Right Of Way.
P/C	Preliminary Engineering And Construction.
OTH	Other. (Use for FTA Transfer)

(13) URBANIZED AREA CODES: 3 digit code

CODE	URBANIZED AREA	CODE	URBANIZED AREA
ØØ2	Los Angeles-Long Beach	298	Chico
ØØ6	San Francisco-Oakland	299	Fairfield
Ø23	San Diego	3ØØ	Hemet
Ø32	San Jose	3Ø1	Lancaster
Ø42	Sacramento	3Ø2	Napa
Ø48	San Bernardino-Riverside	3Ø3	Palm Springs
Ø8Ø	Fresno	3Ø4	Redding
Ø91	Pomona-Ontario	3Ø5	Santa Maria
117	Bakersfield	3Ø6	Visalia
119	Stockton	3Ø7	Yuba City
187	Santa Barbara	38Ø	Merced
224	Oxnard-Ventura, Thousand Oaks	381	Davis
229	Salinas	391	Hesperia-Apple Valley, Victorville
234	Modesto	396	Indio-Coachella
235	Santa Rosa	4ØØ	Lodi
236	Seaside-Monterey	4Ø2	Lompoc
237	Simi Valley	41Ø	San Luis Obispo
257	Antioch-Pittsburg	417	Vacaville
258	Santa Cruz	419	Watsonville
287	Yuma (AZ)		

(25) AIR BASIN CODES

CODE	AIR BASIN
6098	South Coast
6099	Southeast Desert
6100	San Diego
6101	Ventura
6102	San Joaquin Valley
6103	Sacramento Metropolitan
6104	San Francisco-Bay Area
6105	Santa Barbara
6106	Monterey Bay

(31) LINE NUMBER

LINE NUMBER	DESIGNATED CLASSIFICATION
Ø1-Ø9	Planning and Research HPR/PR, PL.
1Ø-19	Preliminary Engineering.
2Ø-29	Right Of Way - all phases: acquisition, acquisition of scenic strips, utility work handled as Right Of Way.
3Ø-69	Construction including post construction and maintenance.
7Ø-88	Additional line numbers available to supplement Ø1, 1Ø, 2Ø and 3Ø series.
89	To report the increased Federal Share (5%) for projects using innovative technologies. Pre approved use only.
9Ø-99	Additional line numbers available to supplement Ø1, 1Ø, 2Ø and 3Ø series.

(33) FEDERAL COUNTY CODES

ØØØ	State-wide, e.g., HPR	Ø57	Nevada
999	Various - State-wide, e.g., signing project	Ø59	Orange
ØØ1	Alameda	Ø61	Placer
ØØ3	Alpine	Ø63	Plumas
ØØ5	Amador	Ø65	Riverside
ØØ7	Butte	Ø67	Sacramento
ØØ9	Calaveras	Ø69	San Benito
Ø11	Colusa	Ø71	San Bernardino
Ø13	Contra Costa	Ø73	San Diego
Ø15	Del Norte	Ø75	San Francisco
Ø17	El Dorado	Ø77	San Joaquin
Ø19	Fresno	Ø79	San Luis Obispo
Ø21	Glenn	Ø81	San Mateo
Ø23	Humboldt	Ø83	Santa Barbara
Ø25	Imperial	Ø85	Santa Clara
Ø27	Inyo	Ø87	Santa Cruz
Ø29	Kern	Ø89	Shasta
Ø31	Kings	Ø91	Sierra
Ø33	Lake	Ø93	Siskiyou
Ø35	Lassen	Ø95	Solano
Ø37	Los Angeles	Ø97	Sonoma
Ø39	Madera	Ø99	Stanislaus
Ø41	Marin	1Ø1	Sutter
Ø43	Mariposa	1Ø3	Tehama
Ø45	Mendocino	1Ø5	Trinity
Ø47	Merced	1Ø7	Tulare
Ø49	Modoc	1Ø9	Tuolumne
Ø51	Mono	111	Ventura
Ø53	Monterey	113	Yolo
Ø55	Napa	115	Yuba

(34) CONGRESSIONAL DISTRICTS

Use only if the county is a multi-congressional district county, enter the congressional district(s) that are impacted by the project. Zero (Ø) fill a congressional district number less than 1Ø (i.e., Ø2, Ø3,...,Ø9). Enter data starting in the first multi-entry field. Not required for 000 & 999-STATEWIDE codes.

Following is a list of multi-congressional district counties with the congressional districts included within the county:

COUNTY(Co. Code)	CONGRESSIONAL DISTRICTS
Alameda (ØØ1)	Ø9, 1Ø, 13
Butte (ØØ7)	Ø2, Ø3
Contra Costa (Ø13)	Ø7, 1Ø
Fresno (Ø19)	18, 19, 2Ø
Kern (Ø29)	2Ø, 21
Los Angeles (Ø37)	24, 25, 26, 27, 28, 29, 3Ø, 31, 32, 33, 34, 35, 36, 37, 38, 39, 41
Madera (Ø39)	18, 19
Orange (Ø59)	39, 41, 45, 46, 47, 48
Riverside (Ø65)	43, 44, 48
Sacramento (Ø67)	Ø3, Ø4, Ø5, 11
San Bernardino (Ø71)	4Ø, 41, 42
San Diego (Ø73)	48, 49, 5Ø, 51, 52
San Francisco (Ø75)	Ø8, 12
San Joaquin (Ø77)	11, 18
San Mateo (Ø81)	12, 14
Santa Barbara (Ø83)	22, 23
Santa Clara (Ø85)	13, 14, 15, 16
Santa Cruz (Ø87)	15, 17
Solano (Ø95)	Ø1, Ø3, Ø7
Sonoma (Ø97)	Ø1, Ø6
Tulare (1Ø7)	19, 2Ø, 21
Ventura (111)	23, 24

(38) WORK TYPE CODE :

This is a four (4) space field used to code the type of work associated with the line number.

The Following work type codes are classified as **Miscellaneous Work Type** codes:

CENG, FTAX, GMKR, INSP, IVHS, MAIN, PCON, PENG, PLAN, R/WS, RESH, ROWA, SFTY, UPLN and all Y*** codes. The first digit in the Y*** codes is alpha and the rest are numeric except for YHOV.

Following is a list of the codes with their work type:

CODE	WORK TYPE
CENG	CONSTRUCTION ENGINEERING
FTAX	FUEL TAX COMPLIANCE
GMKR	GEODETIC MARKERS
INSP	BRIDGE INVENTORY, INSPECTION, CLASSIFICATION SPECIAL PROJECTS
IVHS	INTELLIGENCE VEHICLE HIGHWAY SYSTEM
MAIN	MAINTENANCE
PCON	POST CONSTRUCTION
PENG	PRELIMINARY ENGINEERING
PLAN	PLANNING (HPR, PR RND PL FUNDS)
R/WS	ACQUISITION OF SCENIC STRIPS OUTSIDE OF ROW
RESH	RESEARCH (HPR, PR RND PL FUNDS)
ROWA	RIGHT OF WAY
SFTY	SAFETY RELATED WORK
UPLN	URBANIZED PLANNING
YHOV	HIGH OCCUPANCY VEHICLE LANES

CODE	WORK TYPE
Y000	MISCELLANEOUS (WASHINGTON OFFICE APPROVAL FOR USE)
Y002	TRAFFIC SIGNS
Y003	LANDSCAPING (PLANTING AND RELATED WORK)
Y004	ALL CLEARING (see Y103 for SIGNS, ETC.)
Y005	PLANTING OF NATIVE WILD FLOWERS
Y007	MINOR STRUCTURE (STORM SEWER, CULVERT, SNOW SHED, ETC.)
Y008	CHANNELIZATION OF TRAFFIC
Y009	SLOPE STABILIZATION/SLIDE PROTECTION
Y010	COAL ASH
Y021	SAFETY REST AREAS, SCENIC OVERLOOKS & TURNOUTS
Y022	COMFORT AND CONVENIENCE FACILITIES & RESTAREAS

Continued on next page

CODE	WORK TYPE
Y023	SCREENING UNSIGHTLY AREAS
Y024	RECREATION-FACILITY
Y025	FRINGE PARKING
Y026	CARPOOL FACILITY (HOV)
Y028	VANPOOL REQUISITION
Y030	HIGHWAY LIGHTING
Y031	TRAFFIC SIGNALS
Y032	FRWY TRAFFIC SURVEILLANCE AND CONTROL SYSTEMS
Y033	COMPUTERIZED TRAFFIC SIGNAL SYSTEM
Y034	MOTORIST AID SYSTEM
Y035	HIGHWAY INFORMATION
Y036	COMPUTERIZED MATCHING PROGRAM
Y037	OPERATION & MAINTENANCE OF TR. MGT. SYSETMS
Y041	SPECIAL RELOCATIONS (RIVERS, CHANNELS, ETC.)
Y044	INCIDENTAL PEDESTRIAN FACILITY
Y045	INCIDENTAL BICYCLE FACILITY
Y046	INCIDENTAL BICYCLE AND PEDESTRIAN FACILITY
Y047	INDEPENDENT BICYCLE AND PEDESTRIAN FACILITY
Y050	FRONTAGE ROAD
Y051	INDEPENDENT PEDESTRIAN WALKWAYS
Y052	INDEPENDENT BICYCLE FACILITIES
Y060	UTILITY ADJUSTMENT
Y063	ACQUISITION OF SCENIC EASEMENTS & SITES
Y064	ACQUISITION OF HISTORIC SITES
Y065	SCENIC HIGHWAY OR BYWAY PROGRAMS
Y066	HISTORIC HIGHWAY PROGRAMS
Y067	HISTORIC PRESERVATION
Y068	REHABILITATION & OPERATION OF HISTORIC TRANSPORTATION FACILITIES
Y069	PRESERVATION OF ABANDONED RAILWAY CORRIDORS
Y070	ARCHAEOLOGICAL SALVAGE
Y071	PALEONTOLOGICAL SALVAGE
Y072	HISTORICAL, ARCHAEOLOGICAL OR SCIENTIFIC SITE
Y073	ID, EVALUATION, PLNG, RESEARCH OF HISTORIC OR ARCHAEOLOGICAL RESOURCES
Y077	WETLANDS MITIGATION & ENHANCEMENT
Y080	TRAINING (CONSTRUCTION CONTRACTS)
Y081	TRAINING (NHI)
Y100	STATE SCENIC BYWAY PROGRAM PLANNING, DESIGN & DEVEL
Y101	JUNKYARD CONTROL, SCREENING, RELOCATION, AND/OR REMOVAL
Y102	FENCING
Y103	OUTDOOR ADVERTISING CONTROL/ACQ./REMOVAL

Continued on next page

CODE	WORK TYPE
Y104	IMPROVEMENTS ENHANCING ACCESS TO A RECREATION AREA
Y105	INTERPRETIVE FACILITIES
Y106	TOURIST INFORMATION
Y108	TRANSIT PASSENGER FACILITIES
Y109	TRUCK LOADING FACILITY
Y110	MCSAP (DEVELOPMENT CODE)
Y111	MCSAP (ENFORCEMENT PROGRAM)
Y112	CDL (DEVELOPMENTAL)
Y113	CDL (TESTING OPERATORS)
Y200	BUS PURCHASES
Y205	PURCHASE OF ROLLING STOCK (FIXED RAIL)
Y210	ADMINISTRATIVE EXPENSES
Y215	OPERATING EXPENSES (NET)
Y219	FERRY BOATS
Y220	NOISE ABATEMENT
Y222	TRUCK SCALES, FIXED
Y223	TRUCK SCALES, PORTABLE
Y224	AUTO RESTRICTED ZONE
Y225	TERMINAL AND TRANSFER FACILITIES
YHOV	HIGH OCCUPANCY VEHICLE LANES (repeated)

The following work type codes are classified as **Roadway and Surface Work Type** codes:

A000, B000, C000, D000, E000, F000, G000, H000, I000, J000 and K000. The first digit is alpha and the rest are numeric zero's (0).

Following is a list of the codes with their work type:

CODE	WORK TYPE
A000	PRIMITIVE
B000	UNIMPROVED
C000	GRADED & DRAINED EARTH
D000	SOIL SURFACE
E000	GRAVEL OR STONE
F000	BITUMINOUS SURFACE TREATMENT
G000	MIXED BITUMINOUS
H000	BITUMINOUS PENETRATION
I000	BITUMINOUS CONCRETE
J000	PORTLAND CEMENT CONCRETE
K000	ALL OTHERS

Bridge Codes on next page.

The following work type codes are classified as **Bridge Work Type** codes: X _ _ _

The first digit (code X) indicates bridge class. The first digit is alpha and the rest are numeric

CODE WORK TYPE

	The second digit indicates nature of structure.
X0--	HIGHWAY OVER WATERWAY
X1--	HIGHWAY OVER RAILROAD
X2--	HIGHWAY OVER HIGHWAY
X3--	HIGHWAY OVER WATERWAY AND RAILROAD
X4--	HIGHWAY OVER WATERWAY AND HIGHWAY
X5--	HIGHWAY OVER RAILROAD AND HIGHWAY
X6--	HIGHWAY UNDER RAILROAD
X7--	HIGHWAY UNDER HIGHWAY
X8--	HIGHWAY UNDER RAILROAD AND HIGHWAY
X9--	OTHER COMBINATION, INCLUDING HIGHWAY OVER WATERWAY, RR AND HIGHWAY; ALSO 3- AND 4-LEVEL GRADE SEPARATIONS AND MISCELLANEOUS

CODE

WORK TYPE

CODE

WORK TYPE

	The third digit identifies the material of principal supporting members of the span.		The fourth digit identifies type of span (identifies type if bridge comprises 2 or more span types).
X-0-	TIMBER	X--0	SLAB
X-1-	MASONRY	X--1	GIRDER
X-2-	CONCRETE, NOT PRESTRESSED	X--2	TRUSS (EXCEPT CANTILEVER)
X-3-	STEEL	X--3	RIGID FRAME
X-4-	STEEL AND CONCRETE	X--4	ARCH
X-5-	TIMBER AND STEEL	X--5	CANTILEVER TRUSS
X-6-	TIMBER AND CONCRETE	X--6	MOVABLE
X-7-	COMPOSITE STEEL AND CONCRETE	X--7	SUSPENSION
X-8-	CONCRETE, PRESTRESSED	X--8	BOX CULVERT (BRIDGE LENGTH)
X-9-	ALUMINUM	X999	HIGHWAY TUNNEL

Thus, work type code X015 would be a highway over waterway bridge using masonry as the principal supporting member of the span and using a cantilever truss for the type of span.

(39) Function Class [Highway Type + Improvement Type]

CODE	TYPE OF HIGHWAY	CODE	TYPE OF HIGHWAY
DC	Divided/Collector (Major)	FL	Freeway/Local
DL	Divided/Local	FM	Freeway/Minor Arterial
DM	Divided/Minor Arterial	FP	Freeway/Principal Arterial
DP	Divided/Principal Arterial	FR	Freeway/Collector (Minor)
DR	Divided/Collector (Minor)	NR	(Not Required)
EC	Expressway/Collector (Major)	UC	Undivided/Collector (Major)
EL	Expressway/Local	UL	Undivided/Local
EM	Expressway/Minor	UM	Undivided/Minor Arterial
EP	Expressway/Principal Arterial	UP	Undivided/Principal Arterial
ER	Expressway/Collector (Minor)	UR	Undivided/Collector Minor
FC	Freeway/Collector (Major)		

Type of Improvement codes:

CODE	TYPE OF IMPROVEMENT	CODE	TYPE OF IMPROVEMENT
Ø1	New Route	Ø9	Bridge Replacement
Ø2	Relocation	1Ø	Bridge Rehabilitation
Ø3	Reconstruction (see 15 & 16)	11	Minor Bridge Work
Ø4	Major Widening	12	Safety/Traffic/TSM
Ø5	Minor Widening	13	Environment Related
Ø6	Restoration and Rehabilitation	14	Bridge Program Special Actions
Ø7	Resurfacing	15	Reconstruction -Added Full Lane Capacity
Ø8	New Bridge	16	Reconstruction -No Added Full Lane Capacity

(40) SAFETY CODES

use only with appropriation codes: 33A, 33M, 33N, 33P, 33Q, 33X, 33Y, 33Z

HAZARD ELIMINATION	CODE	NUMBER OF
INTERSECTION IMPROVEMENT	1A	Intersections Improved
ROADSIDE IMPROVEMENT	1B	Projects
INSTALLATION OF TRAFFIC SIGNS	1C	Projects
PAVEMENT MARKING	1D	Projects
INSTALLATION OF HIGHWAY LIGHTS	1E	Projects
TRAFFIC CONTROL SIGNALIZATION	1F	Projects
ROADWAYS/STRUCTURE IMPROVEMENT	2A	Projects/Structures
COMMUTER CARPOOLING/VANPOOLING	3A	Projects
CONCRETE BARRIER AND TREATMENTS	3B	Projects
BREAKDOWN UTILITY POLES	3C	Projects
PRIORITY CONTROL SYSTEM	3D	Projects
INSTALLATION OF GUARDRAIL	3J	Projects
INSTALLATION OF IMPACT ATTENUATORS	3N	Projects
OTHER SAFETY APPURTENANCES	4A	Projects
RAIL-WAY CROSSINGS		
RAIL-HWY XING PROTECTIVE DEVICE	5A	Crossings Protected
RAIL-HWY XING IMPROVEMENT	5B	Crossings Improved/ Eliminated

(41) FEDERAL-AID SYSTEM CODE

This two (2) space (must be completed) field is used to enter the Federal-Aid System Code. Following is a list of the codes.

CODE	TYPE OF SYSTEM
I	On the Interstate System
J	On Interstate System, Section 139, additions
K	I-System - Section 103(e)(2) additions
M	Multi-system such as HPR, PR, HPS or Geodetic Markers
P	On the Primary System including extensions
S	On the Secondary System
U	On the Urban System
Z	Not on any Federal-Aid System

(42) FEDERAL RESERVATION SYSTEM CODE

This two (2) space (must be completed) field is used to enter the Federal Reservation System Code. Following is a list of the codes. Default is Z; change if needed.

CODE	TYPE OF SYSTEM
D	Public Lands Development Road
E	On Public Lands but not a Public Land Development Road
F	On Forest Highway System
I	Indian Reservation Road
J	On Indian Reservation and not Indian Reservation Road
M	Multi-system such as HPR, PR, HPS
N	Parkway
P	Park Road
Q	On National Park System Lands but not on a Park Road or Parkway
S	On National Forest System Lands but not a Forest Development Road
T	On Forest roads and trails
Z	Not on any Federal Reservation System or National Park

EXAMPLE - EXEMPT PROJECT

FNM-76 (VERSION E-76)

AUTHORIZATION TO PROCEED

FEDERAL AID PROGRAM HBRR

CALIFORNIA DEPARTMENT OF TRANSPORTATION

PROJ LOCATOR 11-SD-0-PTR

PREFIX	BRLO	PROJECT LOCATION		PREV. AUTHORIZATION
PROJECT NO.	4060 (016)	WILSON CK @ BORDER CANAL, 42C-WD40		
SEQ NO	1			
DIST-EA	11-999999L	TYPE OF WORK		PE
AGENCY	PETER	BRIDGE REPLACEMENT		R/W
ROUTE		FED. RR NOS		CON
TIP DATA:		PUC CODE(S)		
MPO/YEAR	SANDAG	EXEMPT FROM	FHWA REVIEW	APPR CODES 118
DATE	94/95	ENV STATUS	CAT.EXCL. 03/02/94	LINE NOS 30 31
SHEET	207	R/W STATUS	4 09/24/94	WORK CLASS 3
URBANIZED	SAN DIEGO	POPULATION	OVER 200,000	FUNC. CL. UR09
URB/RURAL	URBAN AREA	BRIDGE NOS	42C-WD40	

PHASE		PROJECT COST	FEDERAL COST
	PREV. OBLIGATION	0	0
CON	THIS REQUEST	200,000	160,000
	SUBTOTAL	200,000	160,000
	TOTAL	200,000	160,000

This "Authorization to Proceed" is not a commitment on the part of the State to make reimbursements until the Program Supplemental Agreement is executed by the Agency and State and the Federal-aid Project Agreement (PR-2) is executed by the State and the FHWA.

STATE REMARKS

PE on this project was authorized under project No. BRM-F998(001)

AUTHORIZATION TO
PROCEED WITH CON
CONTRACT

PREPARED BY	I. M. READY	ON 01/23/95 (619) 421 9898
REVIEWED BY	I. M. SURE	ON 01/24/95 (916) 421 9899
AUTHORIZED BY	YUR A. GO	ON 01/24/95
OBLIGATED BY	AL L. DUN	ON 01/25/95

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REQUEST FOR CTC VOTE*Local Agency Letterhead*

To: (DLAE Name)
 District Local Assistance Engineer
 Caltrans, Office of Local Assistance
 (District Address)

Date: _____
 (Federal/State Number)
 (Project Description)

Dear (DLAE Name):

We request that the California Transportation Commission allocate (capital outlay dollar amount plus any eligible support costs) in the (program name) program funds for the (project location and description). (Describe project and type of work that will be accomplished.)

The proposed funding is:

	Total Cost	CTC Allocation Share
Preliminary Eng.	\$ _____	\$ _____
Right of Way	\$ _____	\$ _____
Construction	\$ _____	\$ _____
Const. Eng.	\$ _____	\$ _____
TOTAL	\$ _____	\$ _____

Status of Project:

Environmental:

- CEQA - Define project clearance type and date.
- NEPA - Define project clearance type and date (if applicable).

Engineering:

- The PS&E development was/will be completed on (date) (if applicable).
- R/W: The project right of way acquisition is scheduled to begin (date) (if applicable).
- Construction: The project advertisement is scheduled for (date) (if applicable).

The project was adopted in the (year) STIP (PPNO) with a capital expenditure amount of \$_____ under program type (insert program) for FY 19__/__. (Indicate FSTIP status if Federalized)

We request that the Commission vote the funds at its (date) meeting.

Please advise us as soon as the fund allocation has been voted. You may direct any questions to (Name) at (phone number).

Sincerely,

Signed _____
 Title _____

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**REQUEST FOR AUTHORIZATION
TO PROCEED WITH UTILITY RELOCATION***Local Agency Letterhead*

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
(Federal Number)
(Project Description)

Dear (DLAE Name):

In order to proceed with the right of way work for the above project, we request that you secure Federal authorization and obligate funds for this work. The amounts requested do not exceed the Federal funds provided to this agency in the approved Federal TIP/Federal Statewide TIP(FSTIP).

Attached are the following documents that are required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Project Prefix Checklist, (Exhibit 3-E) or
- ☐ The Project Prefix Checklist was previously submitted and the funding types have not changed.
- ☐ Completed Finance Letter (Exhibit 3-F)
- ☐ Completed Data Sheets (Exhibit 3-G)

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review form, or
- ☐ The Field Review form was previously submitted on _____.

Environmental Document

- ☐ Approved Environmental Document
Type of Document _____
Approval Date _____
- ☐ The Environmental Document was previously submitted and approved.

Utility Relocation

- ☐ The Alternate Procedure (Section 14.3) for utility relocation will be followed. The utility owners of utilities to be relocated are listed in the attached Data Sheets together with an estimate of the cost of relocation. If the utility relocation work is part of the construction contract, the Specific Authorization and Utility Agreement (if applicable) for each utility being relocated will be attached to the Right of Way Certification, which will be submitted along with the Request for Authorization to Proceed with Construction. If the utility relocation is not part of the construction contract, the Specific Authorization and Utility Agreement (if applicable) will be submitted and approved prior to beginning work (other than PE).

I understand that invoice requests for payment will not be processed until a Program Supplement Agreement and Federal-aid Project Agreement (PR-2) have been prepared and executed.

(Check which of the following applies)

- ☐ I plan to request reimbursement and invoicing for utility relocation costs as incurred. As indicated above, I have included a completed Field Review Form. I am also including the "Agreements Checklist" (Exhibit 4-A) request form with this transmittal and request that the agreements be prepared now.
- ☐ I do not plan to invoice for utility relocation costs until this phase of the work is completed. I will transmit the "Agreements Checklist" at a later date.

I will not submit any invoice requests until I receive notification that the Program Supplement Agreement and PR-2 have been executed.

CTC ALLOCATION

Check which of the following applies:

- ☐ A CTC allocation vote is not required, or
☐ The required CTC allocation has been scheduled for the _____ meeting, or
☐ The required CTC allocation was voted at the _____ meeting.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administrator and the California Department of Transportation relative to the above designated project.

I understand that this Agency is responsible for costs in excess of the Federal funds obligated and all costs incurred before it has received FHWA "Authorization to Proceed" with this phase of the project.

Please advise us as soon as the authorization has been received. You may direct any questions to (Name) at (phone number).

Signed _____
Title _____
Agency _____

Attachments